

0300/7

UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Sloan et al

Docket No: 60021-375602

Serial No: 09/930,786

Group Art Unit: Unassigned

Filed: August 15, 2001

For: "FINANCIAL PORTFOLIO RISK MANAGEMENT"

Initial Patent Examination Division  
Commissioner for Patents  
Washington, D.C. 20231



2700

RESPONSE TO NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)

Responsive to the Notice of Incomplete Reply (Nonprovisional) mailed January 18, 2002, attached are the following documents:

1. 16 Sheets of informal drawings;
2. Copy of Notice of Incomplete Reply (Nonprovisional); and
3. A check in the amount of \$920.00 for the payment of a three month extension fee for a large entity.
4. Please date stamp and return to us the enclosed postcard as confirmation of receipt of these papers.

The Commissioner is authorized to charge any required fees, or credit any overpayment to Deposit Account No. 02-3964.

Respectfully submitted,

Dated: February 5, 2002

RAMBOD NADER  
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CERTIFICATE OF MAILING (37 CFR 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited on Feb. 5, 2002, with the U.S. Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C., 20231.

Date: February 5, 2002

Patricia Beilmann



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/930,786         | 08/15/2001          | Ronald E. Sloan       | 60021.375602           |

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COPY OF PAPERS  
ORIGINALLY FILED



CONFIRMATION NO. 3301

## FORMALITIES LETTER



\*OC000000007332383\*

Date Mailed: 01/18/2002

## NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)

*Filing Date Granted*

The U.S. Patent and Trademark Office has received your reply on 01/08/2002 to the Notice to File Missing Parts (Notice) mailed 09/13/2001 and it has been entered into the nonprovisional application. The reply, however, does not include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice MUST be returned with the reply.*

S. GORMAN

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE